

16076 U.S. PTO  
041404

15364 U.S. PTO  
10/824919  
041404

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |  |                               |   |  |
|---|--|-------------------------------|---|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> |  | <b>Attorney Docket No.</b>    | 60306 USA   |  |
|   |  | <b>First Inventor</b>         | James J. Modliszewski   |  |
|   |  | <b>Title</b>                  | HOMOGENEOUS, THERMOREVERSIBLE<br>ALGINATE FILMS AND SOFT CAPSULES MADE<br>THEREFROM |  |
|   |  | <b>Express Mail Label No.</b> | ER 375178889 US   |  |

|  |   |
|--|---|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small> | <b>ADDRESS TO:</b><br>MS Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 |
|--|---|

|  |   |
|--|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/><small>(Submit an original, and a duplicate for fee processing)</small></p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/><small>See 37 CFR 1.27.</small></p> <p>3. <input checked="" type="checkbox"/> Specification <span style="float:right">[Total Pages <b>43</b>]</span><br/><small>(preferred arrangement set forth below)</small><ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul></p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float:right">[Total Sheets <b>5</b>]</span></p> <p>5. Oath or Declaration <span style="float:right">[Total Sheets <b>  </b>]</span><ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><small>(for continuation/divisional with Box 18 completed)</small></li><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/><small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></li></ul></p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <small>(Appendix)</small></p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small><ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li><li>b. Specification Sequence Listing on:<ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> Paper</li></ul></li><li>c. <input type="checkbox"/> Statements verifying identity of above copies</li></ul></p> <p style="text-align:center"><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <span style="float:right"><input type="checkbox"/> Power of Attorney</span><br/><small>(when there is an assignee)</small></p> <p>11. <input type="checkbox"/> English Translation Document <small>(if applicable)</small></p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <span style="float:right"><input type="checkbox"/> Copies of IDS Citations</span></p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br/><small>(Should be specifically itemized)</small></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br/><small>(if foreign priority is claimed)</small></p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).<br/><small>Applicant must attach form PTO/SB/35 or its equivalent.</small></p> <p>17. <input type="checkbox"/> Other: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 20px; vertical-align: middle;"></span></p> |
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application No.: \_\_\_\_\_

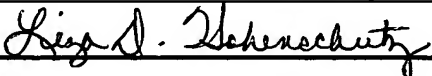
Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☐ Customer Number:     OR    ☒ Correspondence address below

|   |              |                  |              |                 |              |
|---|--------------|------------------|--------------|-----------------|--------------|
| <b>Name</b>   |              |                  |              |                 |              |
| Paul A. Fair, Patent Administration – FMC Corporation |              |                  |              |                 |              |
| <b>Address</b>  |              |                  |              |                 |              |
| 1735 Market Street                                    |              |                  |              |                 |              |
| <b>City</b>   | Philadelphia | <b>State</b>     | PA           | <b>Zip Code</b> | 19103        |
| <b>Country</b>  | US           | <b>Telephone</b> | 215 299 6985 | <b>Fax</b>      | 215 299 6246 |

|                          |   |  |                |
|--------------------------|---|--|----------------|
| <b>Name (Print/Type)</b> | Liza D. Hohenschutz   | <b>Registration No. (Attorney/Agent)</b> | 33,712         |
| <b>Signature</b>         |  | <b>Date</b>                              | April 14, 2004 |

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# FEE TRANSMITTAL

## for FY 2004

*Effective 10/01/2003. Patent fees are subject to annual revision.*

☐ Applicant claims small entity status. See 37 CFR 1.27

**Complete if Known**

|                      |                       |
|----------------------|-----------------------|
| Application Number   | Not Yet Assigned      |
| Filing Date          | April 14, 2004        |
| First Named Inventor | James J. Modliszewski |
| Examiner Name        | Not Yet Assigned      |
| Art Unit             | N/A                   |
| Attorney Docket No.  | 60306 USA             |

**METHOD OF PAYMENT** (check all that apply)

|                                     |       |                          |             |                          |             |                          |       |                          |      |
|-------------------------------------|-------|--------------------------|-------------|--------------------------|-------------|--------------------------|-------|--------------------------|------|
| <input checked="" type="checkbox"/> | Check | <input type="checkbox"/> | Credit Card | <input type="checkbox"/> | Money Order | <input type="checkbox"/> | Other | <input type="checkbox"/> | None |
|-------------------------------------|-------|--------------------------|-------------|--------------------------|-------------|--------------------------|-------|--------------------------|------|

☐ **Deposit Account:**

Deposit  
Account  
Number

03-2775

Deposit  
Account  
Name

**Connolly Bove Lodge & Hutz LLP**

The Director is authorized to: (check all that apply)

|                               |   |
|-------------------------------|---|
| Charge fee(s) indicated below | <input checked="" type="checkbox"/> Credit any overpayments |
|-------------------------------|---|

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 770      | 2001         | 385      | Utility filing fee     | 770.00   |
| 1002         | 340      | 2002         | 170      | Design filing fee      |          |
| 1003         | 530      | 2003         | 265      | Plant filing fee       |          |
| 1004         | 770      | 2004         | 385      | Reissue filing fee     |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |

|                     |             |               |
|---------------------|-------------|---------------|
| <b>SUBTOTAL (1)</b> | <b>(\$)</b> | <b>770.00</b> |
|---------------------|-------------|---------------|

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                       |     |         | Extra<br>Claims |   | Fee from<br>below |   | Fee Paid |
|-----------------------|-----|---------|-----------------|---|-------------------|---|----------|
| Total Claims          | 112 | -20** = | 92              | x | 18.00             | = | 1656.00  |
| Independent<br>Claims | 1   | -3** =  | 0               | x | 86.00             | = | 0.00     |
| Multiple Dependent    |     |         |                 |   | 290.00            | = | 290.00   |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

|                     |             |                |
|---------------------|-------------|----------------|
| <b>SUBTOTAL (2)</b> | <b>(\$)</b> | <b>1946.00</b> |
|---------------------|-------------|----------------|

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION** (continued)

### 3. ADDITIONAL FEES

| Large Ently |          | Small Ently |          | Fee Description  | Fee Paid |
|-------------|----------|-------------|----------|--|----------|
| Fee Code    | Fee (\$) | Fee Code    | Fee (\$) |  |          |
| 1051        | 130      | 2051        | 65       | Surcharge – late filing fee or oath  |          |
| 1052        | 50       | 2052        | 25       | Surcharge – late provisional filing fee or cover sheet.                    |          |
| 1053        | 130      | 1053        | 130      | Non-English specification  |          |
| 1812        | 2,520    | 1812        | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804        | 920*     | 1804        | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805        | 1,840*   | 1805        | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251        | 110      | 2251        | 55       | Extension for reply within first month                                     |          |
| 1252        | 420      | 2252        | 210      | Extension for reply within second month                                    |          |
| 1253        | 950      | 2253        | 475      | Extension for reply within third month                                     |          |
| 1254        | 1,480    | 2254        | 740      | Extension for reply within fourth month                                    |          |
| 1255        | 2,010    | 2255        | 1,005    | Extension for reply within fifth month                                     |          |
| 1401        | 330      | 2401        | 165      | Notice of Appeal   |          |
| 1402        | 330      | 2402        | 165      | Filing a brief in support of an appeal                                     |          |
| 1403        | 290      | 2403        | 145      | Request for oral hearing   |          |
| 1451        | 1,510    | 1451        | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452        | 110      | 2452        | 55       | Petition to revive – unavoidable   |          |
| 1453        | 1,330    | 2453        | 665      | Petition to revive - unintentional   |          |
| 1501        | 1,330    | 2501        | 665      | Utility issue fee (or reissue)   |          |
| 1502        | 480      | 2502        | 240      | Design issue fee   |          |
| 1503        | 640      | 2503        | 320      | Plant issue fee  |          |
| 1460        | 130      | 1460        | 130      | Petitions to the Commissioner  |          |
| 1807        | 50       | 1807        | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806        | 180      | 1806        | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021        | 40       | 8021        | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809        | 770      | 2809        | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810        | 770      | 2810        | 385      | For each additional invention to be examined (37CFR 1.129(b))              |          |
| 1801        | 770      | 2801        | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802        | 900      | 1802        | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

|                     |             |             |
|---------------------|-------------|-------------|
| <b>SUBTOTAL (3)</b> | <b>(\$)</b> | <b>0.00</b> |
|---------------------|-------------|-------------|

## SUBMITTED BY

Name (Print/Type) Liza D. Hohenschutz

Registration No.  
(Attorney/Agent)

33.712

## (Complete (if applicable))

Telephone (302) 658-9141

**Signature**

Date \_\_\_\_\_

April 14, 2004

Application No. (if known):

Attorney Docket No.: 60306 USA (10884\*10)

## Certificate of Express Mailing Under 37 CFR 1.10

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Utility Patent Appln. Transmittal (1 page)  
Application Data Sheet (5 pages)  
Specification Cover Sheet (1 page)  
Specification excluding claims (36 pages)  
34 Claims (6 pages)  
5 Drawings (5 sheets)  
Abstract (1page)  
Fee Transmittal (1 page)  
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